U.S. Department of Justice
Office of Justice Programs
Office of Juvenile Justice and Delinquency Prevention

Core Performance Standards

- *Training*
- *Technical Assistance*
- *Evaluation*

OJJDP National Training and Technical Assistance Center

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CORE PERFORMANCE STANDARDS
FOREWORD

The Office of Juvenile Justice and Delinquency Prevention (OJJDP) supports efforts across the Nation to protect children from victimization, deter at-risk juveniles from engaging in delinquent acts, and intervene in the lives of juvenile offenders to promote their rehabilitation and to prevent recidivism.

Achieving these goals will require concerted, collaborative, and creative efforts on the part of diverse professionals in law enforcement, the courts, corrections, probation, parole, education, social services, and other youth-serving endeavors.

To assist policymakers and practitioners in implementing comprehensive community-wide initiatives that strengthen the local juvenile justice system, OJJDP has developed a network of providers dedicated to delivering targeted training and technical assistance.

In partnership with these providers, OJJDP has established Core Performance Standards for effective practice in the planning, delivery, and evaluation of training and technical assistance. These standards set forth fundamental requirements for effective practice.

Of course, a number of training and technical assistance providers may already exceed these minimum standards. These providers can play a critical role as models for their peers.

By assessing current practices against the Core Performance Standards and taking steps to move toward their full implementation, we can work together to advance excellence in the delivery of training and technical assistance and thus achieve the goals that we all desire on behalf of America's youth.

OVERVIEW

The Office of Juvenile Justice and Delinquency Prevention (OJJDP), the OJJDP National Training and Technical Assistance Center (NTTAC), and the OJJDP grantees and contractors collectively share a commitment to the provision of high-quality training and technical assistance (TA) to the juvenile justice field. To that end, the **Core Performance Standards** were developed to promote consistency and quality of OJJDP-sponsored training and TA activities and to advance common expectations of performance excellence.

The **Core Performance Standards** present minimum expectations to be met for effective practice in the planning, coordination, delivery, and evaluation of training. These standards are based on the 1998 OJJDP NTTAC document, *Training, Technical Assistance, and Evaluation Protocols: A Primer for OJJDP Training and Technical Assistance Providers*, and are intended to facilitate implementation of the protocols. In short, the **Standards** outline the minimum of *what to do* and the Protocols give guidance on, and examples of, *how to do it.*

Many grantees and contractors currently maintain standards that exceed those presented here. These **Standards** are offered as a baseline of minimum expectations for good practice. Included with the standards are *implementation tips.* These tips provide brief guidance for achieving the related standard.

The **Core Performance Standards** provide easy-to-follow checklists in the following areas:

- Training.
- Technical Assistance.
- Evaluation.

TRAINING

Training is a process through which information is provided, skills are developed, and learning styles are appreciated, in order to help individuals become more effective and efficient in their work. This process includes an assessment of the learner's need, the development of an approach to address the need, and a strategy for implementing the approach. Training activities may include supervised on-the-job instruction, classroom-style instruction, distance learning, self-directed learning, and workshops. The **Standards** for *training* address the following:

- Needs Assessment.
- Training Development.
- Request Documentation.
- Training Delivery.

These **Core Performance Standards** are designed to assist the reader in managing a process that supports the creation of a valuable learning experience. In this context, a "learning experience" can be an extensive training program, a small workshop, a knowledge exchange forum, or a short presentation. The steps presented here are to guide the development of a training program; however, these steps are applicable to the development of any learning initiative designed to expand awareness, increase understanding, or improve performance. Detailed discussion of the training development and management process along with sample documents, such as lesson plans and instruction guides, can be found in the **Protocols**.

Needs Assessment

1. A needs assessment is conducted prior to developing a training program to determine if, and what type of, training is appropriate.

Two Stages to a Good Needs Assessment

Implementation tips: There are two stages to a good needs assessment. The **first stage of assessment involves looking carefully at the issues faced by the target population** for whom the training is being requested. The results of the first stage help to determine if training is the most appropriate response to the expressed need. Sometimes other solutions (e.g., changes in policy or changes in organization structure) may be more appropriate or necessary before training can be effective. Once the need for training has been established, the **second stage of assessment involves the exploration of learning and performance needs.** This stage is essential if the learning experience is to yield a recognizable improvement in individual performance and in overall organizational functioning.

A good needs assessment:

- Determines whether training will be effective in helping to solve the problem or expressed need.
- Determines whether the expected benefits will outweigh the anticipated expenditure of time and resources.
- Defines the skill/knowledge need and identifies the knowledge levels/behaviors to be enhanced.
- Describes the target audience including their professional experience and current job duties, level of knowledge about the subject matter or issues to be addressed in the training, level of education, and the range in their knowledge or learning behaviors.

- Describes cultural considerations that may impact the value of the learning experience, such as organizational dynamics, or considerations specific to the target audience, such as race, gender, age, and/or people with disabilities.
- Identifies barriers to attaining intended goals.

At least one of the following methods of conducting a needs assessment is used to gain a full understanding of both the issues and the behaviors associated with it:

- Individual interviews or focus groups with field staff, supervisors, or experts.
- Surveys of field staff, supervisors, or experts.
- Review of documents (e.g., previous needs assessments, case files, and reports).
- Review of technical assistance (TA) requests (scope and nature) of the topic area to measure how strong the need is, thus allowing for further validation of the proposed curriculum.

Various factors are to be considered when determining how to fill a need identified in the field. These factors include:

- Identified gaps (e.g., technology, cybercrime).
- Legislative priorities.
- Evaluation of previous trainings.
- Use of informal methods.

TRAINING DEVELOPMENT

Course Outcomes

2. For every training program, course outcomes are established that specify the goals and objectives of the training program.

Establishing Course Outcomes

Implementation tips: Two types of outcomes should be considered: those for participants and those for the organization. **Participant outcomes** demonstrate that the training has improved participants' performance or that they have learned new information or knowledge. **Organization outcomes** identify how the organization will benefit as a result of the improved participant performance or increase in learning. In developing both types of course outcomes, it is important to consider how much training time you have. The outcomes that can be expected from a 1-day course will be more modest than those one can hope to achieve in a 5-day course.

Participant Objectives

3. Based on the intended course outcomes, specific, measurable participant objectives are developed.

Establishing Training Objectives

Implementation tips: Training objectives help to guide the course developer in selecting appropriate instructional techniques for the subject or skill. **Objectives are written in terms of what the participants will know, be able to do, or understand at the end of a course, and often specify a standard of performance.** Here's an example: *The participant will know how to implement sight-and-sound separation requirements in prisons, jails, and other lockups that meet the national and State standards for confined juvenile offenders.* To help ensure that the objectives are measurable, it is a good idea to keep in mind the following question: "How will I know that the participants have actually learned what I want them to learn?"

Modules

4. The curriculum includes a series of logically sequenced modules (self-contained topics or units of instruction), each of which covers a specific subject, task, or concept. Each discrete module is conceptually connected to the other, guiding participants through the learning experience.

Instructional Strategies

5. Instructional strategies vary based on identified needs, opportunities, and constraints. The most familiar training technique is classroom-style instruction; however, distance learning, computer-based training, and remote communication systems are option strategies based on the learning objectives and desired outcomes. Regardless of the method used, instructional strategies are based on adult learning theory and incorporate the following:

   - Participants' expertise.
   - Real-life, job-relevant problems or situations.
   - Opportunities for group participation and interaction.
   - Opportunities for participants to demonstrate mastery of new knowledge and practice new skills and behaviors.
   - Use of a variety of learning approaches.

   Recognize that each participant has a preferred style of learning. When planning an instructional strategy, keep in mind the four questions that learners bring to a training situation:

   - What do I need to know?
   - Why do I need to know it?
   - How do I use it?
   - What if? (That is, real-life application issues addressed).

Appreciating Learning Styles

Implementation tips: Some learners are visual learners and learn best by presentation of information through videos, slides, and demonstrations. Others are auditory learners and these learners prefer lectures and discussions. Kinesthetic learners like to "do." They learn best through role-plays, games, and group exercises. The key is **recognizing the diversity in learning styles** by providing a combination of approaches that benefit the whole learning audience.

Lesson Plans

6. A learning module contains one or more lesson plans. Each lesson plan contains the following key elements:
   - Introduction, including a clear statement of the connection to previous lessons, background information, and a summary of what is covered in the lesson.
   - Notes on trainer or participant preparation required before the lesson.
   - Presentation guide offering a clear and logical description of what the trainer says and does, including explicit directions for all small group work.
   - List of all materials needed for the lesson (e.g., training aids, equipment, slide show masters, overhead transparencies, handouts, etc.).
   - Method of evaluation (if appropriate).

Lessons Plans—The "Heart" of the Curriculum

Implementation tips: The lesson plans are the "heart" of the curriculum. **Each lesson plan identifies the objectives to be accomplished in a single lesson, the content to be learned, and the means by which the objectives are to be achieved**. If a lesson plan is well constructed, any trainer with sufficient content knowledge of the subject should be able to step in and teach from it.

7. A lesson plan summary is written for each lesson plan. The summary includes:
   - Lesson title: Purpose of the module.
   - Time needed to present the lesson.
   - Learning objectives.
   - Outline of lesson activities in a timed sequence and the methods of presentation.
   - Evaluation procedures.
   - List of needed training aids, supplies, and equipment.

Instructor Guide and Participant Workbook

8. All training courses include an **Instructor Guide** and a **Participant Workbook**. All material in the **Guide** and the **Workbook** is relevant and up to date.

Developing the Instructor's Guide and Participant Workbook

Implementation tips: The **Instructor Guide** should contain copies of all lesson plans, participant handouts, transparencies, and any other material that will be used in the training. It should also cover the more general issues related to the training, (e.g., target audience, recommended class size, training facility requirements, and additional materials or references that will support effective delivery of the course). The **Participant Workbook** should contain all course materials that participants will need and use during the course, such as the module outline and learning objectives, instructions to practice exercises, handouts, copies of overheads, and note-taking guides.

Cultural Diversity

9. Careful attention should be given to all participant activities, handouts, case studies, and other materials to ensure cultural appropriateness. An effective training program acknowledges and incorporates the culture of its target audience. This requires the ability to draw on the values, traditions, and customs of the targeted learning

community. To achieve this, it may be necessary to develop the training program in concert with the people who are representative of your audience.

Why Consider Culture?

Implementation tips: It is important to recognize that a learner's individuality is not limited to race and gender. Factors such as geographic location, lifestyle, age, level of education, occupation, socioeconomic status, religious affiliation, and physical disability are just a few examples of what makes each learner unique. **A learner's cultural orientation also is uniquely connected to how he/she receives and processes information.** Therefore, a successful learning experience begins with a learning environment that reflects an understanding of, and respect for, cultural differences.

Pilot Test

10. A pilot test of the course is conducted, with revisions made as necessary.

A pilot test is not appropriate or cost effective for small workshops and short presentations. However, at a minimum, a thorough review of the presentation outline, participant handouts, and audiovisuals should be conducted before delivery.

Taking the Curriculum for a Test Drive

Implementation tips: The pilot test phase serves as a "dress rehearsal" for a new training curriculum. **A pilot test helps detect unanticipated problems or weaknesses in the training design that can be fixed prior to widescale delivery.** The pilot test audience should include individuals who are similar to the intended course audience. Some course designers send the curriculum to experts in the field for review and incorporate feedback into the curriculum prior to the pilot test. Although a field review can increase both development time and cost, it often increases the effectiveness of the pilot test.

REQUESTS AND DOCUMENTATION

Requests

11. All requests for the training are documented with the following minimum information:

- Date training request was received.
- How the request was received (i.e., phone, e-mail, letter, etc.).
- Name of training provider staff member who received the request.
- Name and type of agency making request and its contact information.
- Requesting agency contact person and locator information.
- Presenting need for training.
- Anticipated target audience.
- Training location and date requested.
- Whether the request fits within the scope of the grant/agreement.

Requests for training are clarified and validated with the requesting agency to ensure that training in general, and a given course in particular, is the appropriate response to the need identified by the agency.

Training Plans

12. In consultation with the requesting agency, a training plan is developed that specifies the following:

- Results of the training assessment.
- Contextual issues that may impact the process (i.e., environmental, geographic, and other cultural dynamics that may impact training effectiveness).
- Suggested training design based on the needs assessment results.
- Possible modifications that may be made to an existing training course based on the specific needs of the target audience, as appropriate.
- Who will deliver the training (this will depend on trainer: participant ratio).
- Where the training will be held.
- Who is the contact person responsible for assisting with activities such as gathering current local data, site-specific statistics, current institutional practices, and demographics of the clients served.
- Cost of training.

Logistical Requirements

13. The training site meets the necessary logistical requirements:

- Adequate space to comfortably seat participants and to conduct all training activities.
- Good lighting and sufficient privacy to be free from distractions.
- Multimedia equipment in working order.
- Adequate restroom facilities.
- Appropriate accommodations for people with disabilities, if necessary.
- Office/production support, if necessary (e.g., phone, fax, and copier).
- Nearby accommodations for breaks, lunch, etc., so that commuting time is minimal.

Followup

14. Immediately following program delivery, trainers prepare a training review and follow-up report that includes the following information:

- Course and trainer name.
- Course date and location.
- Overview of training need and training approach that was used.
- Number of participants that completed the training.
- Organizational affiliation(s) of participants.
- Summary of the training participant evaluations.
- Description of any problems that arose or serendipitous event.
- Description of any training activities that worked particularly well or were problematic.
- Methods for improvement.
- Feedback regarding the amount of time allotted to cover all of the material.

The training review and follow-up report are to be sent to the designated OJJDP Program Manager for review and approval.

TRAINING DELIVERY

Responsive Delivery

15. The trainer follows the lesson plans, while at the same time being responsive to participant needs.

Trainer Flexibility

***Implementation tips*: Trainers need to be flexible: On the one hand, they need to follow the lesson plan; on the other hand, they need to be responsive to participant learning needs.** All groups of participants are different—participants bring different sets of experiences, expectations, learning preferences, personalities, and educational backgrounds to the training group. The trainer must constantly monitor participant learning by asking questions or observing participant behavior to determine how much is being learned and how quickly. It may be necessary to spend additional time to clarify important points or to extend participant discussions, to provide additional examples, or to correct misinformation.

Subject Knowledge

16. The trainer is knowledgeable about the content of the training program.

Being a Subject Matter Expert is Not Enough

Implementation tips: Trainers are expected to be subject matter experts (SME's). However, **trainers also must be thoroughly familiar with the training course that they will present**. They need to know the training content, the learning objectives for each lesson plan, the instructions for learning activities, and the sequencing of activities. In addition, **SME's should be familiar with the fundamentals of transferring learning and job skills**—and should be equipped with a ready supply of real-life examples to illustrate the learning points.

Trainer Competencies

17. The trainer has excellent presentation and facilitation skills, including the ability to:

- Present the training material clearly and accurately.
- Use the training materials (e.g., handouts, transparencies) and audiovisual equipment effectively.
- Create a learning environment where the participants are treated with respect and are free to try new behaviors, ask questions, and make mistakes.
- Give feedback skillfully so that it is heard and understood by the participants.
- Provide positive reinforcement and motivational incentives.
- Involve participants in all aspects of the training activities.

Monitoring

18. Course delivery undergoes periodic monitoring to ensure the quality of the delivery and to detect and remedy problems in the course content or design.

TECHNICAL ASSISTANCE

Technical assistance (TA) is a process of providing targeted support in order to address a developmental need, resolve a problem, or create an innovative approach to an emerging complex issue. TA may be delivered in many different ways, such as training, one-on-one consultation or group facilitation, and at varying degrees, i.e., limited, moderate, or extended. (See the **Protocols** for complete definition of scope and types of TA.) The **Standards** for TA will address the following:

- Request Documentation and Needs Assessment.
- Technical Assistance Delivery.
- Reporting and Followup.

In addition, this guide includes a procedural practice note on the Civil Rights of Institutionalized Persons Act (CRIPA). This information pertains to the satisfactory documentation of practices that violate the constitutional or statutory rights of individuals residing in juvenile correctional facilities.

REQUESTS AND NEEDS ASSESSMENT

Request Documentation

1. All requests for TA are documented by the grantee or contractor with the following minimum information:
   - Date received.
   - How the request was received (phone, e-mail, letter, etc.).
   - Name of TA provider staff member who received the request.
   - Name and type of agency requesting assistance.
   - Agency contact information (address, phone, etc.).
   - Agency point of contact who will coordinate the TA (applicable for onsite TA only).
   - Presenting TA need.
   - Scope and type of assistance requested.
   - Requestor's anticipated outcomes following receipt of TA.
   - When the TA services are needed/requested.
   - Whether the request fits within the scope of the grant/agreement.
2. The receipt of a request is acknowledged in a timely manner.
3. Advanced approval from OJJDP is required when the TA request is for extensive onsite assistance that will extend for a period of time, and will require significant expenditure of resources. In addition, executive commitment from the requesting agency must be verified, for example, by a letter of request from the agency.

OJJDP Approval and Executive Commitment for Extensive TA

Implementation tips: It is important to ensure that agency executives **understand and are committed to the TA process** when extensive resources—both from the TA provider and the requesting agency—may be involved. Program staff who requested the assistance may not be aware, for example, of other agency priorities at the time, and the executive may be unable to commit staff resources to a TA project, even if the need for TA is acknowledged. Alternatively, agency executives may have a "different take" on the nature of the problem or need, and therefore may not be willing to commit to the original request, but will work to help reframe the nature of the problem and assistance needed.

Acceptance

4. Extensive longer-term TA requests must meet the acceptance criteria described in the grant or contract statement of work (SOW). If the criteria in the SOW are not clearly met or not clearly applicable, the request is submitted to OJJDP for approval. Consideration for acceptance will be based on the following:
   - Appropriateness of the TA request in accordance with the intent of the grant or contract.
   - Appropriateness of anticipated allocation of resources.
   - Appropriateness of anticipated level of effort required for TA coordination and delivery.
   - OJJDP policy adherence.

Needs Assessment

5. For all extensive TA requests, particularly those that require extensive assistance, needs assessments are conducted—either to determine the scope of the TA intervention or as a part of the TA intervention to explore and verify:
   - Whether the need or problem description is accurate (what is the exact nature and scope of the problem?).
   - What is the "evidence" for the problem (what data exist to validate the need)?
   - Whether the presenting need is a symptom of an underlying organizational issue (which may or may not be amenable to a TA intervention).
   - What the requesting agency hopes will be different/improved as a result of the TA (i.e., desired outcomes), and how it will incorporate the new learning gained from the TA?
   - What resources are available to assist the TA recipient agency beyond TA provision.
   - Who is the target audience (e.g., TA recipients)?
   - Whether similar TA already has been conducted and, if so, what were the outcomes?
   - Factors that may affect the successful provision of assistance (e.g., timing, participation of the appropriate people, availability of information or information systems).

Needs Assessment

Implementation tips: Further assessing and defining a TA need is a critical step in the provision of effective TA. **Taking the time to understand fully the specific nature of the problem, its underlying symptoms, its context and history, and its organizational impact will contribute immeasurably to the ability to provide appropriate, responsive TA.** For example, when people seek help with a problem they often say, "Here's what I want you to do." Once the problem is accurately assessed, the appropriate solution may differ from what was originally suggested. Careful assessment of the TA need—which may require several telephone conversations with the requesting agency, review of pertinent documents, or even a site visit to the agency—will, in the end, result in a more appropriately *tailored*, effective TA response.

TECHNICAL ASSISTANCE DELIVERY

TA Plan

6. For all onsite and longer-term TA events, a TA plan is developed that:

- Provides background or contextual information.
- Identifies the requestor(s) and the TA recipient(s).
- Describes the TA need to be addressed.
- Specifies the desired or anticipated outcome(s) of the assistance.
- Estimates the period of time required to provide the assistance.
- Provides an estimated budget for accomplishing the required assistance.
- Identifies the level and type of in-kind contribution to be made by the requestor.
- Identifies who will provide the assistance.
- Describes and justifies the level of TA to be provided, including the specific activities, information, and resources that will be provided to address the TA need.
- Describes what products, if any, will result from the TA.
- Includes a plan for evaluating the effectiveness of the TA provided.

Planning for Effective TA

Implementation tips: Providing truly effective TA is the result of accurate assessment, good relationship building, careful planning, and engaging delivery. In some cases, "progressive" levels of assistance are provided—first some written information, for example, then a phone consultation, followed by more intensive onsite work—as the specific need emerges and is clarified for both provider and recipient. **TA should be delivered at a rate and level that meets the recipient needs.** Too much too soon may be as ineffective as none at all.

Educational Approach

7. The assistance is designed to enhance the capabilities of recipients to address similar issues by themselves in the future.

Educational Approach

Implementation tips: **Engaging the TA recipients as partners in the process**—starting at the needs assessment and early planning stages—will support the education process.

Expert Providers

8. The TA providers are not only subject matter experts, but also are highly competent in the process of conducting TA. (See **Procedural Practice Note**, page 14.) In addition, the TA providers have knowledge about, and sensitivity to, the cultures of the population groups in the recipient jurisdiction.

Selecting the "Right" TA Provider

Implementation tips: The "right" TA provider can make all the difference in the world. **Selection of providers/consultants should be based on subject matter expertise, communication skills, experience providing TA, and understanding of cultural, demographic, and other issues unique to the target population.** In recruiting and selecting TA staff and consultants, it is important to carefully read resumes, examine prior work, speak with references, and match provider competencies to specific assignment needs.

REPORT AND FOLLOWUP

Written Report

9. Within 15-30 working days following all onsite or longer-term TA events, a written report is prepared and submitted to OJJDP. Following OJJDP review and approval, the report is submitted to the TA recipient.

10. The written TA report includes discussion of the following:

- TA need(s).
- Nature of TA provided.
- Initial assessments of the effectiveness of the TA.
- Extent to which the TA addressed the stated need(s).
- Explanation of required followup.
- Areas where further assistance may be helpful.

Followup

11. Within an appropriate period of time, based on the nature and extent of the assistance provided, there is follow-up with the TA recipient to determine their satisfaction with the effectiveness of the assistance provided. (See also the section on **Evaluation.**)

Procedural Practice Note: The Civil Rights of Institutionalized Persons Act (CRIPA) of 1980

The Civil Rights of Institutionalized Persons Act (CRIPA), 42 U.S.C. §1997a et seq., authorizes the Attorney General to conduct investigations and litigation relating to conditions of confinement in State or locally operated institutions (the statute does not cover private facilities). Under the statute, the Special Litigation Section investigates covered facilities to determine whether there is (1) a pattern or practice of violations of residents' Federal rights (the Section is not authorized to represent individuals or to address specific individual cases), or (2) the existence of "egregious or flagrant conditions" that violate the constitutional or statutory rights of individuals residing in an institution and that cause "grievous harm to the residents."

Under CRIPA, the Department of Justice (DOJ) Civil Rights Division must protect the rights of individuals residing in these five major areas:

1. Jails and Prisons.
2. Juvenile correctional facilities.
3. State or locally run mental health facilities.
4. State or locally run developmental disability and mental retardation facilities.
5. State or locally run nursing homes.

Most juvenile detention and correctional facilities are plainly encompassed by the statute, including facilities where juveniles are held awaiting trial, residing for purposes of receiving care or treatment, or residing for any State purpose (other than solely for educational purposes).

When in the process of conducting an onsite TA assessment or delivering onsite TA, the TA provider (e.g., the OJJDP-funded grantee or contractor or the subject matter expert/consultant retained by the OJJDP-funded grantee or contractor) is responsible for alerting the designated OJJDP program manager regarding possible CRIPA violations. It is important to remember that timely reporting and the assembling of pertinent documentation are fundamental to the process of getting help to the facility in need of reform.

In assessing a facility's vulnerability, the TA provider should give careful consideration to the following areas:

Education—Conditions violating the detained youth's right to an adequate education program.

Environment—Unsanitary and inhumane environmental conditions violating the incarcerated youth's Constitutional rights under the 8th and 14th Amendments (e.g., fire and safety hazards, filth, crumbling plaster, serious lighting problems, plumbing leaks, etc.).

Health Care—Lack of routine health screening and medical and dental services, especially for residents who are required to take medication, who are pregnant, or who have serious medical conditions.

Overcrowding—Evidence of severe overcrowding resulting in inadequate education, health, mental health, and recreation services.

Recreation—Inadequate opportunities for exercise and outdoor recreation.

Restraints/isolation—Stripping away of a juvenile's liberty due to excessive isolation and/or excessive use of mechanical restraints.

Safety—Violating the right of incarcerated youth to be protected from threats of violence and sexual assault.

Staffing and staff training—Poor staffing ratios, increase in staff overtime, or lack of adequate staff training that contribute to deliberate indifference to the rights of youth with whom staff come into contact.

Source: American Bar Association. 1998. *Beyond the Walls: Improving Conditions of Confinement for Youth in Custody.* Washington, DC: U.S. Department of Justice, Office of Juvenile Justice and Delinquency Prevention.

EVALUATION

Evaluation is a process of assessing the impact and outcome of an action or set of actions designed to address a particular need. A solid evaluation process aids in determining the effectiveness of the action(s) in achieving the established goals/objectives prescribed to meet the need. Evaluation may take place while the action is in progress, at the conclusion of the action, or at a future time following the action (see the **Protocols** for complete discussion of the types, levels, and benefits of evaluation.) The **Standards** for *evaluation* will address the following:

- Evaluating Training.
- Evaluating Technical Assistance.

These **Standards** are designed to help guide how and when to conduct an evaluation, and what to look for when analyzing the results.

EVALUATING TRAINING

1. All levels of evaluation are employed for training programs regardless of the specificity of the training or the audience.

Tailoring to the Program

Implementation tips: Training evaluations require careful planning early in the training design process. Ideally, as course outcomes and learning objectives are written, so too is the plan for the course evaluation. **There is no single, off-the-shelf evaluation that can be conducted for training programs; they must be tailored to the program itself, and, in most cases, to the recipient organization.** Consideration early in the process of what to measure and how to measure it—with buy-in from all key stakeholders—will enhance not only the quality of the evaluation, but also the utility of the course objectives. Early planning also includes collecting information about whether the objectives have been achieved. For knowledge, behavior/organization change, or results evaluations, the evaluation plan should include an estimated budget for conducting the evaluation.

Evaluation Plan and Instruments

2. An evaluation plan, instruments, and procedures are developed during the training development phase and are directly linked to the stated learning objectives.

Reaction Evaluation

3. All training events have a reaction evaluation that determines, at a minimum, the extent to which:
   - Course content addressed the participants' needs and the advertised course objectives.
   - The participants gained knowledge and skills that can be applied in the trainees' organization upon return.
   - The participants were satisfied with the quality of instruction.
   - The participants were satisfied with the schedule, format, materials, and facilities.

Strategies for Obtaining Participation

Implementation tips: **The ideal reaction evaluation obtains the most amount of information for the least amount of participant effort.** Evaluation forms should be easy to fill out—generally no more than one page—with items to check or circle. They should also allow the participant to provide written comments and suggestions.

Reaction evaluations are to be completed before participants leave the training event.

Ensuring Participation

Implementation tips: **Incorporating a few minutes into the training agenda for participants to complete the evaluations helps ensure a high response rate.** For multiday training events, it is best to get feedback at the end of each day either verbally or through an abbreviated reaction evaluation form.

Knowledge Evaluation

4. Knowledge evaluations, which measure changes in knowledge, skills, and/or attitudes, are conducted for training programs that are repeated on a regular basis.

Knowledge evaluations of training programs include:

- An assessment process and tool(s) that are developed and tested during the training development phase.
- Learning assessments that are directly linked to the stated learning objectives of the training program.
- Consultation with key stakeholders in the organizations receiving the training to confirm that the proposed assessment approach will satisfy their requirements for a knowledge evaluation.

Measuring Knowledge and Performance

Implementation tips: Training is a process as well as an event. A knowledge evaluation needs to be tailored to the training program it will assess. In general, a **"paper-and-pencil"** test is best for measuring knowledge and attitudes, and a performance test is best for measuring skills (and these days, "paper-and-pencil" could mean a computer screen and a mouse!). Knowledge evaluations are generally conducted during or at the conclusion of a training program.

Behavior Organization

5. More advanced levels of evaluation (i.e., behavior/organization change or results evaluation) are conducted periodically for major ongoing training programs if adequate time and resources are available.

Behavior/organization change evaluations of training programs include:

- Clear specification of behavior and/or organization changes that are desired, or expected to result from, the training program, developed in consultation with key stakeholders in the organization receiving the training.
- Critical review of the content and delivery of the training to assure that the desired behavior/organization changes reasonably can be expected to result from the training.

- Identification of appropriate and observable (or measurable) indicators of behavior and/or organization change.
- Specification of a reasonable and appropriate timeframe in which change can be expected to occur (e.g., 2-4 months after some types of training; 4-6 months after others).

Results Evaluation

6. Results evaluations of training programs include:

- Clear specification of the desired effects (results) of training, developed in consultation with key stakeholders in the organization receiving the training.
- Critical review of the content and delivery of the training to assure that the desired effects reasonably can be expected to result in training.
- Careful consideration of the costs to the agency of collecting the data necessary to demonstrate the desired results.

Reports

7. Summaries of evaluation results are included in the periodic project activity reports submitted to OJJDP.

EVALUATING TA

Reaction Evaluation

1. Reaction evaluations consist of administering a set of questions to recipients of TA after assistance has been rendered. All moderate, onsite and longer-term TA event reaction evaluations determine, at a minimum, the extent to which:

- The TA recipient received the assistance in a timely manner.
- The services provided met the needs of the TA recipient.
- The information or materials addressed the specific questions or issues of the TA recipient.
- Additional assistance or information is needed.

Reaction evaluations are completed within a brief, but practical, period of time after the assistance is provided, generally within 4 weeks.

Format and Question Construction

Implementation tips: As a general rule, good reaction evaluations consist of a one- page form (or short telephone survey script) that has both closed and open-ended questions. Open-ended questions that are posed in behavioral terms (e.g., "To what extent did the services provided meet your needs?" or "To what extent do you think the services provided will help you address the identified problem?") tend to yield more meaningful information than items that simply ask, "Did you like it?" Open-ended questions allow the TA recipient to offer their own comments and input.

Behavior/Organization Change Evaluation

2. Evaluating behavior/organization change of TA include:

- Clear specification of behavior and/or organization changes that are desired or expected to result from receiving TA.

- Critical review of the content and delivery of the TA to assure that the desired behavior/organization changes reasonably can be expected to result from the TA.
- Identification of appropriate and observable (or measurable) indicators of behavior and/or organization change.
- Specification of a reasonable and appropriate time frame in which change can be expected to occur (e.g., 2-4 months after receipt of the TA).

The evaluation should answer questions like "Has participant behavior changed since receiving TA?" or "Have organizational changes resulted from the TA?"

Evaluation Plan

3. Onsite or longer-term TA has an evaluation plan, which:

- Is linked to the objectives of the TA plan.
- Outlines when and what information will be collected.
- Will demonstrate whether behavioral and/or organization changes resulted from the TA.

Planning for Success

Implementation tips: **The purpose of the evaluation plan is to help you identify from the beginning how you will measure success in the end.** "Success" should be defined by the goals of the TA (what is the purpose of providing the assistance?), as specified in the TA plan, and what the TA services reasonably can be expected to achieve. The evaluation plan should specify what data will have to be collected, when (e.g., before and after offering the TA), who will collect it, and how it will be analyzed.

Followup

4. At an appropriate interval following the provision of onsite or longer-term TA, the provider follows up with the TA recipient to determine the nature and extent of change that occurred as a result of the TA, and whether additional TA is needed.

Evaluating Outcomes

Implementation tips: When assessing the nature and extent of changes that occurred as a result of TA, consider the following questions:

- Did the TA reach the "right" people?
- Was the assistance that was planned provided?
- Were new problems/issues revealed during the provision of TA?
- How long after providing TA can you reasonably expect change or results to have occurred?
- Was the recipient's capacity increased by the TA?
- What is different as a result of providing the TA?
- Were the goals of the TA achieved?

Evaluation Report

5. An evaluation report is submitted to OJJDP. The report summarizes the results of reaction evaluations and the nature and extent of change that resulted from onsite or longer-term TA, and provides recommendations for addressing similar issues in the future.

RECOMMENDED RESOURCES FOR TRAINING AND TECHNICAL ASSISTANCE

Following is a list of selected resource guides and manuals that can provide guidance on effective practices in the training and technical assistance field.

Training

- American Society for Training and Development (ASTD). *INFO-LINE Series*. Alexandria, VA: ASTD.
- ASTD publishes a series of booklets on a variety of topics central to training design and delivery. The booklets are inexpensive and offer concise "how-to" information. Some sample titles include:
  - *Basics of Instructional Systems Development*—This issue provides an introduction to instructional systems development and covers the use of objectives and evaluation tasks in curriculum design.
  - *Conducting a Mini Needs Assessment*—The author describes a process for identifying problems and solutions in a condensed period of time.
  - *Course Design and Development*—This booklet covers key components of instructional systems design.
  - *Lesson Design and Development*—This guide focuses on the details of developing a lesson plan within the context of course design.
- Bartram, S., and Gibson, B. 1995. *Training Needs Analysis Toolkit*. Amherst, MA: Human Resource Development Press.

  The manual links organizational success to designing quality training programs that will yield well-trained people. The issues discussed include analyzing training needs, selecting training strategies, and developing training plans to meet identified needs. Handouts and exercises are included.
- Brown, G., and Wedel, K. 1974. *Assessing Training Needs*. Washington, DC: National Training and Development Service Press.

  Although several years old, this book is an excellent resource to use to conduct assessments of training needs.
- Goldstein, I.L. 1993. *Training in Organizations: Needs Assessment, Development, and Evaluation*. Pacific Grove, CA: Brooks/Cole Publishing Company.

  This book provides a framework for establishing new, viable training programs in education, business, and government environments. Part 1 emphasizes the needs assessment and learning processes that are the foundation of training programs. Part 2 focuses on the evaluation process, and part 3 describes training approaches.
- Gupta, K. 1998. *A Practical Guide to Needs Assessment*. San Francisco, CA: Jossey-Bass Publishers.

  This guide provides clear and easy-to-follow steps for a methodical approach to needs assessments, including training needs assessments.
- Knowles, M., Elwood, H., Swanson, R., and Holton, E. 1998. *The Adult Learner: The Definitive Classic in Adult Education and Human Resource Development*. Houston, TX: Gulf Publishing.

  The text opens with exploration of theories of learning and then advances Malcolm Knowles' concept of adult learning theory (i.e., andragogy). The authors describe how to put andragogy into practice not only to engage the adult in the learning process, but also to rethink the role of the trainer from that of teacher to a facilitator of learning.

- Leslie, C., and Clarke-Epstein, C. 1998. *The Instant Trainer: Quick Tips on How to Teach Others What You Know.* New York, NY: McGraw-Hill.

  This book is written by two experienced trainers who attempt to demystify the training process for subject matter experts who are tasked to train others. Written in a question-and-answer format, the authors provide very practical advice on how to plan and implement a successful training session.

- Mager, R. 1984. *The New Mager Six-Pack*. Belmont, CA: Lake Publishing Company.

  The *Six Pack* includes six volumes, each targeting a major step in the training design or delivery process. Mager is considered one of the grandfathers of instructional design. His books are well written and provide indepth discussions and examples of how to design, develop, and implement instruction. The volumes are entitled:

  - Analyzing Performance Problems—This book describes the problems related to performance and offers a quick-reference checklist to find workable solutions.
  - Developing Attitude Toward Learning—Mager addresses the principles one can apply to positively influence students' attitudes and promote effective learning.
  - Goal Analysis—This volume includes the goal-achieving techniques of performance analysis, critical incident analysis, task analysis, target population description, and goals analysis.
  - Making Instruction Work—This book addresses creating objectives for instruction, designing instructional practices that promote motivation, and adjusting instruction to each learner's needs.
  - Measuring Instructional Results—This guide helps develop test items that yield measurable outcomes.
  - Preparing Instructional Objectives—Mager identifies the characteristics of a well-stated instructional objective and provides a guide to design your own.

- Merriam, S., and Caffarella, R. 1998. *Learning in Adulthood: A Comprehensive Guide*. San Francisco: Jossey-Bass Publishers.

The authors provide an overview of adult learning and examine the context in which adult learning takes place.

- Milano, M., and Ullius, D. 1998. *Designing Powerful Training: The Sequential-Iterative Model.* San Francisco, CA: Jossey-Bass, Pfeiffer.

  This book presents a structured approach for designing training programs for adult learners. This training model includes a "feedback loop" so that the designer is able to continually refine the training based on experience. The book stresses the importance of designing programs that support the organization's mission and how to most effectively work with others in the design of training.

- Mitchell, G. 1998. *The Trainer's Handbook: The AMA Guide to Effective Training.* New York, NY: AMACOM.

  The author envisions that this comprehensive handbook would serve as a desktop reference for both novice and experienced trainers. Topics include the basics of adult learning theory, the function of the trainer, planning and preparing for training, the evolution of training technology, computer-based training, visual and electronic aids, and training program management.

- National Institute of Corrections. 1992. *Designing Training for the National Institute of Corrections Academy: Instructional Theory into Practice.* U.S. Department of Justice.

  This document provides guidance for training developers under the National Institute of Corrections Academy to stipulate goals and objectives, use task analysis, develop a

lesson plan format, prepare a facilitator's guide and a participant manual, deliver training, and evaluate training.

- Nilson, C. 1997. *How to Manage Training: A Guide to Design and Delivery for High Performance*. New York: AMACOM.

  This guide describes a variety of tools and checklists to assist in conducting needs assessments, designing and writing training programs, and managing and administering the delivery of training.

- Silberman, M. 1998. *Active Training: A Handbook of Techniques, Designs, Case Examples, and Tips.* San Francisco, CA: Jossey-Bass, Pfeiffer.

  This is a practical, "user-friendly" handbook that details how to design a training program based on experiential learning. The handbook provides techniques, designs, and case examples to assess training needs, establish training objectives, design and conduct active training approaches, and encourage back-on-the job application.

- Wlodkowski, R. 1998. *Enhancing Adult Motivation to Learn: A Comprehensive Guide for Teaching All Adults.* San Francisco, CA: Jossey-Bass Publishers.

  This guide discusses the learning process and examines the motivational factors that promote acquisition, retention, and application.

- Zemke, R., and Zemke, J. 1995. Adult learning: What do we know for sure? *Training (June):* 31–40.

  The authors provide a concise analysis of the literature on adult learning theories and practical applications, with discussion of how to motivate adults to learn, how to maximize adult learning through curriculum design, how to facilitate learning in the classroom, and what is known about self-directed learning.

Technical Assistance

- Bolman, L., and Deal, T. 1997. *Reframing Organizations: Artistry, Choice, and Leadership*. San Francisco, CA: Jossey-Bass Inc.

  This resource provides a practical approach to analyzing and reframing organizations and thinking about organizational challenges.

- Cummings, T., and Worley, C. 1997. *Organization Development and Change*. Cincinnati, OH: South-Western Publishing.

  This book provides an overview of organization development and addresses issues related to diagnosing strategies, managing change, and conducting strategic interventions.

- Kolb, D., Osland, J., and Rubin, I. 1995. *Organizational Behavior: An Experiential Approach*. Englewood Cliffs, NJ: Prentice Hall, Inc.

  This workbook places a primary emphasis on "learning from experience." It explores organizational behavior topics including leadership, empowerment and coaching, learning organizations, communication styles, and self-managed work teams.

- Zemke, R. 1999. Maybe problem-solving is the problem. Don't fix that company. *Training* (June):37–33.

  This article discusses the key principles of the "appreciative inquiry" approach that was first introduced by David Copperrider. This approach focuses on what works in an organization rather than what does not work.

Evaluation of Training and Technical Assistance

- American Society for Training and Development (ASTD). *INFO-LINE Series*. Alexandria, VA: ASTD.

  ASTD publishes a series of booklets related to evaluation. Some sample titles include:

  a. Essentials for Evaluation—This resource addresses the basics needed to evaluate training programs. Issues discussed are participant reaction surveys, on-the-job behavior evaluations, organizational results, and testing methods.

  b. How to Focus on Evaluation—This booklet focuses on six questions that lead to clear training program evaluations.

  c. Level 1 Evaluation: Reaction and Planned Action—This guide discusses the collection of reaction data and meaningful ways to improve the training and development cycle. The guide emphasizes the use of technology to relay information and includes tools, templates, and job aids.

  d. Level 2 Evaluation: Learning—This issue describes measuring actual learning from your training and development programs. Methods range from formal to informal testing and simulation to team- and self-assessment. These helpful techniques can be used to design simple yet reliable tests that measure changes in knowledge, skills, and abilities.

  e. Level 3 Evaluation: Application—This booklet presents a number of methods for collecting data and a guide for selecting the best approach to verifying that training has been transferred to the job.

- Fisk, C. 1991. *ASTD Trainer's Toolkit: Evaluation Instruments*. Alexandria, VA: ASTD.

  This toolkit presents several sample evaluation instruments. Created for practitioners by practitioners, the toolkit also provides training and development articles.

- Kirkpatrick, D. 1998. *Evaluating Training Programs*. San Francisco, CA: Berrett-Koehler Publishers, Inc.

  This practical "how-to" book is considered among the best guides to evaluating training programs. The author includes guidelines for each step of the process and provides detailed case studies.

- Phillips, J. 1997. *Handbook of Training Evaluation and Measurement Methods*. Houston, TX: Gulf Publishing Company.

  This revised handbook presents a results-based approach to measuring training initiatives. In addition, the author makes reference to data-collection tools and examines case studies.

Selected Web Sites with Evaluation Information

American Evaluation Association *www.eval.org*

Bureau of Justice Assistance (BJA) Evaluation Web site *www.bja.evaluationwebsite.org*

The Evaluation Center, Western Michigan University *www.wmich.edu/evalctr*

Juvenile Justice Clearinghouse *ojjdp.ncjrs.org*

InnoNet's Evaluation Plan Workstation *www.innonet.org/workstation/evaluationplan.cfm*

Learning Technology Dissemination Initiative *www.icbl.hw.ac.uk/ltdi/cookbook/*

National Youth Development Information Center *www.nydic.org/evaluation.html*

Nickols (Evaluating training article) *home.att.net/~nickols/evaluate.htm*

W.K. Kellogg Foundation *www.wkkf.org/documents/wkkf/evaluationhandbook/default.asp*

CHECKLIST FOR TRAINING

Use the following checklist to ensure that **Core Performance Standards** for training have been met.

NEEDS ASSESSMENT

- ❑ 1. A needs assessment has been conducted prior to developing the training program.

TRAINING DEVELOPMENT

- ❑ 2. Course outcomes have been established that specify the goals and objectives of the training program.
- ❑ 3. Specific, measurable participant objectives have been developed based on intended course outcomes.
- ❑ 4. The curriculum includes a series of logically sequenced modules.
- ❑ 5. Instructional strategies reflect identified needs, opportunities and constraints and are based on adult learning theory.
- ❑ 6. Each learning module contains one or more lesson plans comprising all key elements.
- ❑ 7. A summary has been written for each lesson plan.
- ❑ 8. An **Instructor Guide** and a **Participant Workbook** have been prepared.
- ❑ 9. All participant activities, handouts, case studies, and other materials have been evaluated to ensure cultural appropriateness.
- ❑ 10. A pilot test of the course has been conducted and revisions made as necessary.

REQUESTS AND DOCUMENTATION

- ❑ 11. All requests for the training have been documented.
- ❑ 12. A training plan has been developed in consultation with the requesting agency.
- ❑ 13. The training site meets the necessary logistical requirements.
- ❑ 14. Trainers have prepared training reviews and follow-up reports.

TRAINING DELIVERY

- ❑ 15. The trainer has followed the lesson plans while being responsive to participants' needs.
- ❑ 16. The trainer has demonstrated knowledge about the content of the training.
- ❑ 17. The trainer has demonstrated excellent presentation and facilitation skills.
- ❑ 18. Course delivery continues to undergo periodic monitoring to ensure quality.

CHECKLIST FOR TECHNICAL ASSISTANCE

Use the following checklist to ensure that **Core Performance Standards** for technical assistance (TA) have been met.

REQUESTS AND NEEDS ASSESSMENT

- ❑ 1. All requests for TA have been documented by the grantee or contractor.
- ❑ 2. Receipts of requests have been acknowledged in a timely manner.
- ❑ 3. For extensive on-site TA, approval has been obtained in advance from OJJDP.
- ❑ 4. Extensive, longer-term TA requests meet the acceptance criteria described in the grant or contract statement of work (SOW).
- ❑ 5. A needs assessments has been conducted.

TECHNICAL ASSISTANCE

- ❑ 6. A TA plan has been developed for all on-site and longer-term TA events.
- ❑ 7. The TA has been designed to enhance the capabilities of recipients. to address similar issues by themselves in the future.
- ❑ 8. TA providers are subject matter experts as well as highly competent in the process of conducting TA.

REPORT AND FOLLOWUP

- ❑ 9. A written report has been prepared and submitted to OJJDP within 15-30 days after TA delivery.
- ❑ 10. The written report discusses the TA needs, nature of TA provided, initial assessments of effectiveness, extent to which TA addressed the stated need, required followup, and areas for further assistance.
- ❑ 11. Followup has been conducted with the TA recipient to determine the level of satisfaction with the TA.

CHECKLIST FOR EVALUATION

Use the following checklist to ensure that **Core Performance Standards** for evaluating training and TA have been met.

EVALUATING TRAINING

- ❑ 1. All levels of evaluation have been employed for training programs.
- ❑ 2. An evaluation plan, instruments, and procedures have been developed during the training development phase.
- ❑ 3. A reaction evaluation has been developed for all training events.
- ❑ 4. Knowledge evaluations are being conducted for training programs that repeat on a regular basis.
- ❑ 5. More advanced levels of evaluation are being conducted for major ongoing training programs (if adequate time and resources are available).
- ❑ 6. Results evaluations address desired effects of training, review of content and delivery, and consideration of the costs to the agency of collecting the data necessary to demonstrate desired results.
- ❑ 7. Summaries of evaluation results are included in periodic project activity reports submitted to OJJDP.

EVALUATING TA

- ❑ 1. Reaction evaluations have been developed and administered.
- ❑ 2. Behavior/organization changes brought about by TA have been evaluated.
- ❑ 3. An evaluation plan has been developed for on-site or longer-term TA.
- ❑ 4. The provider has followed up with the TA recipient to determine the nature and extent of change that occurred as a result of the TA, and whether additional TA is needed.
- ❑ 5. An evaluation report has been submitted to OJJDP.

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